

**UNITED STATES DISTRICT COURT
FOR THE DISTRICT OF MASSACHUSETTS
(Boston Division)**

)
UNITED STATES SECURITIES AND)
EXCHANGE COMMISSION,) **Civil Action No. 05-CV-10983 (NMG)**
)
)
Plaintiff,)
)
)
v.)
)
)
STEVEN E. NOTHERN,)
)
)
Defendant.)

**U.S. SECURITIES AND EXCHANGE COMMISSION'S STATUS REPORT
REGARDING THE PRODUCTION OF DOCUMENTS AND PRIVILEGE LOG FROM
THE U.S. DEPARTMENT OF TREASURY**

On December 8, 2006, the Court ordered the SEC to provide it with a status report of the Department of Treasury's ("Treasury") production of a privilege log related to its responses to the SEC's June 30, 2006 voluntary request for production of documents in advance of the scheduled hearing on Defendant Steven E. Nothern's Motion to Compel Production of Documents and Motion For Order To Show Cause. The following is a status of the privilege log and additional production that the SEC has received from Treasury.

On December 19, 2006, Treasury produced approximately 141 pages of documents, a privilege log, and a cover letter to counsel for the SEC and counsel for Nothern. A copy of Treasury counsel's cover letter is attached hereto as Exhibit 1. In the letter, Treasury counsel stated that Treasury had completed its production in response to the SEC's June 30, 2006 request.

The privilege log produced by Treasury, which details the documents that Treasury has withheld from its production in this case, or produced in redacted form, and provides the bases for Treasury's privilege claims, is attached hereto as Exhibit 2.

Additionally Treasury provided Nothern's counsel with a letter on December 19, 2006 responding to Nothern's letter of September 19, 2006 requesting a "disc" referenced during the deposition testimony of Frances Anderson. A copy of this letter is attached hereto as Exhibit 3. Treasury counsel noted that both Treasury's information technology staff and Ms. Anderson conducted searches for the requested information on computer diskette and on Ms. Anderson's hard drive, but the information was not found.

Dated: December 22, 2006

Respectfully Submitted,

/s/ Erica Y. Williams
Erica Y. Williams
John J. Rossetti, Jr.
U.S. Securities and Exchange Commissions
100 F Street, N.E.
Washington, D.C. 20549-4010
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EXHIBIT 1



DEPARTMENT OF THE TREASURY
WASHINGTON, D.C. 20220

December 19, 2006

BY E-MAIL

Erica Y. Williams
 Assistant Chief Litigation Counsel
 U.S. Securities and Exchange Commission
 100 F Street, N.E.
 Washington, D.C. 20549

Re: Request for documents in *Securities and Exchange Commission v. Steven E. Nothern*,
 Case No. 05-10983

Dear Ms. Williams:

This is the final in a series of responses to your June 30, 2006 letter. Your letter submitted pursuant to Treasury's *Touhy* regulations requests documents related to Treasury's quarterly refunding announcement for U.S. government securities on October 31, 2001. This production completes Treasury's response to the request for documents in Attachment A to your letter. Where appropriate, redactions have been made to privileged information. An index of withheld documents and the privileges claimed with regard to those documents also is included with this letter.

As noted in our August 3, 2006 letter to you, certain portions of your request appeared to be unduly burdensome. Specifically,

1. Paragraph (b) sought "all correspondence, including e-mails and letters, between any official or employee at Treasury including, but not limited to, Peter Fisher, Brian Roseboro, Roger Anderson, Jill Ousley, Paul Malvey, and Lula Tyler, concerning attendance at Treasury refunding conferences and/or any rule of confidentiality or 'embargo' pertaining thereto." We limited our search to the files of persons reasonably expected to have responsive materials. Thus, we searched the above mentioned employees, the Office of Domestic Finance and the Office of Public Affairs. To require the Department to search the files of all current and former employees would put an enormous strain on the Department's resources and is without justification.
2. Paragraph (c) sought "all appointment logs, daily calendars, or other documents showing meetings between Pete Davis and any official at Treasury, including but not limited to Peter Fisher, Brian Roseboro, Roger Anderson, Jill Ousley, Paul Malvey, and Lula Tyler." We limited our search to the files of persons reasonably expected to have responsive materials. Thus, we searched the above mentioned employees, the Office of Domestic Finance and the Office of Public Affairs. To require the Department to search the files of all current and

former employees would put an enormous strain on the Department's resources and is without justification.

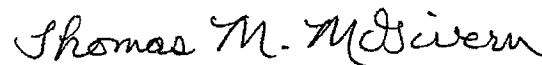
3. Paragraph (g) sought "all documents concerning the use of press embargos from January 1, 1994 to present." To require the Department to search its files for such a broad date range would put an enormous strain on the Department's resources and is without justification. We limited our search to 1998 to the present.

Additionally, paragraph (n) of your June 30, 2006 letter sought documents related to Treasury's Office of Inspector General's Investigation number 2002-0104. All documents relating to paragraph (n) are either privileged and accounted for in the index of withheld documents or already have been produced either in previous productions to the SEC or in response to a November 11, 2005 FOIA request (FOIA Request No. 2005-11-046) from defendant's counsel. With that said, however, those previously produced documents do not constitute a waiver of any existing or future privileges that the Treasury department may assert regarding these or any other documents relating to paragraph (n).

This response, coupled with our previous responses, completes our production with regard to your June 30, 2006 request pursuant to Treasury's *Touhy* regulations. With regard to our production, we note that to the extent that we have already produced a particular document, we will not be producing it again and we will not be producing those documents prepared specifically for the purpose of responding to your document requests.

If you have any questions, please call me at 202-622-2317, or Christian Furey at 202-622-5441.

Sincerely,



Thomas M. McGivern

cc: John Rossetti, Esq. (By e-mail)
U.S. Securities and Exchange Commission

John Shope, Esq. (By e-mail)
Nicholas Theodorou, Esq. (By e-mail)
Robert Toone, Esq. (By e-mail)
Foley Hoag LLP

EXHIBIT 2

December 19, 2006

**UNITED STATES DEPARTMENT OF THE TREASURY'S
INDEX OF WITHHELD DOCUMENTS
PURSUANT TO THE SECURITIES AND EXCHANGE COMMISSION'S *TOUHY* REQUEST
IN CASE NO. 05-10983 (SECURITIES AND EXCHANGE COMMISSION V. STEVEN E. NORTHERN)**

DOC. NO.	DATE	TYPE OF DOCUMENT	AUTHOR	RECIPIENT(S)	GENERAL SUBJECT MATTER	BASIS FOR WITHHOLDING
TREAS-00001	October 22, 2001	Email	Betsy Holahan	Michele Davis, Peter Fisher	Press roundtable discussion with Peter Fisher	Withheld in part. Deliberative Process. Internal discussions and recommendations concerning strategies for senior Treasury official to best communicate Quarterly Refunding announcement.
TREAS-00004	October 22, 2001	Email	Michele Davis	Peter Fisher Cc: Betsy Holahan	Press roundtable discussion with Peter Fisher	Withheld in part. Deliberative Process. Internal discussions and recommendations concerning which news outlets would best communicate Treasury's approach to the Quarterly Refunding.
TREAS-00005	October 27, 2001	Email	Tony Fratto	David Monroe, Donald Hammond, David Lebryk, Brian Roseboro, Timothy Bitsberger, Paul Malvey, Jeff Huther, Jared Gross Cc: Christopher Kubelnis, Betsy Holahan	Draft of Borrowing Announcement	Withheld in part. Deliberative Process. Internal draft document regarding market borrowing in preparation for a subsequent meeting.
TREAS-00006	October 29, 2001	Email	Tony Fratto	Michele Davis, Betsy Holahan, Robert Nichols	Draft Schedule of Refunding Announcement	Withheld in part. Deliberative Process. Internal draft document from agency personnel regarding schedule and strategy of communicating Quarterly Refunding.

CONFIDENTIAL TREATMENT REQUESTED BY THE UNITED STATES DEPARTMENT OF THE TREASURY

DOC. NO.	DATE	TYPE OF DOCUMENT	AUTHOR	RECIPIENT(S)	GENERAL SUBJECT MATTER	BASIS FOR WITHHOLDING
TREAS-00007	October 29, 2001	Email	Timothy Bitsberger	Betsy Holahan	Draft Schedule of Refunding Announcement.	Withheld in part. Deliberative Process. Internal draft document from agency personnel regarding schedule and strategy of communicating Quarterly Refunding.
TREAS-00008	October 29, 2001	Email	Brian Roseboro	Paul Malvey Cc: Betsy Holahan	Draft Schedule of Refunding Announcement.	Withheld in part. Deliberative Process. Internal draft document from agency personnel regarding schedule and strategy of communicating Quarterly Refunding.
TREAS-00009-00013	October 30, 2001	Email	Betsy Holahan	Tony Fratto, Michele Davis Cc: Jared Gross	Press roundtable discussion with Peter Fisher	Withheld in part. Deliberative Process. Internal document containing opinions and advice from agency personnel regarding strategies to best communicate Treasury's policies at the Quarterly Refunding.
TREAS-00015	October 29, 2001	Email	Robert Nichols	Betsy Holahan, Michele Davis, Tony Fratto Cc: Timothy Bitsberger, Brian Roseboro, Jared Gross, Jeff Huther, Paul Malvey	Draft Schedule of Refunding Announcement.	Withheld in part. Deliberative Process. Internal draft document from agency personnel regarding schedule and strategy of communicating Quarterly Refunding.
TREAS-00016	November 1, 2001	Email	Michelle Davis	Betsy Holahan	Q&As for White House regarding end of 30-year bond	Withheld in part. Deliberative Process. Internal document containing opinions and advice from agency personnel for White House press office on 30-year bond announcement.
TREAS-00017	November 1, 2001	Email	Tony Fratto	Michele Davis	Q&As for White House regarding end of 30-year bond	Withheld in part. Deliberative Process. Internal document containing opinions and advice from agency personnel for White House press office on 30-year bond announcement.

DOC. NO.	DATE	TYPE OF DOCUMENT	AUTHOR	RECIPIENT(S)	GENERAL SUBJECT MATTER	BASIS FOR WITHHOLDING
TREAS-00019	November 2, 2001	Email	Tony Fratto	Michele Davis, Betsy Holahan	Response to Press relating to Refunding Announcement	Withheld in part. Deliberative Process. Internal document containing opinions and advice from agency personnel for Treasury Department response to 30-year bond announcement.
TREAS-00020	November 5, 2001	Email	Robert Nichols	DL - Spokesmen	Discussion of Policy regarding talking to Press	Withheld in part. Deliberative Process. Internal document containing opinions and advice from agency personnel in formulating the Treasury Department's response to the 30-year bond announcement.
TREAS-00021	November 6, 2001	Email	Tony Fratto	Michele Davis Cc: Marie Strickler	Discussion of new procedures for Quarterly Refunding.	Withheld in part. Deliberative Process. Internal document containing opinions and advice from agency personnel relating to Treasury Department's procedures for clearing in reporters.
TREAS-00022	November 14, 2001	Email	Betsy Holahan	Michele Davis	Discussion of interviews about Quarterly refunding.	Withheld in part. Deliberative Process. Internal document containing opinions and advice from agency personnel regarding Treasury's response to press inquiries into the Quarterly Refunding investigation.
TREAS-00023	January 28, 2002	Email	Robert Nichols	Betsy Holahan, Jeffery West Cc: Frances Anderson, Tony Fratto	Discussion of Website procedures and content for website for January 30, 2002 Quarterly Refunding.	Withheld in part. Deliberative Process. Internal document containing opinions and advice from agency personnel regarding procedures for uploading documents to website.

DOC. NO.	DATE	TYPE OF DOCUMENT	AUTHOR	RECIPIENT(S)	GENERAL SUBJECT MATTER	BASIS FOR WITHHOLDING
TREAS-00024-20028	November 15, 2001	Email	Megan Hills	Tony Fratto	Legal Strategy regarding Press	Withheld in part. Attorney Client. Law Enforcement; Work Product; Deliberative Process. Internal document from agency counsel provided in a confidential attorney-client communication discussing legal strategy in dealing with the Press. Draft letter from Agency counsel to SEC counsel clarifying facts obtained pursuant to internal investigation and was for the dominant purpose of conducting or aiding in the conduct of legal proceedings.
TREAS-00033	October 3 rd , 2001	Email	Tim Adams	Tony Fratto	Discussion of Quarterly Refunding Announcement	Withheld in part. Deliberative Process. Work Product. Law Enforcement. Internal document summarizing factual investigation and provided to Agency attorney in a confidential attorney-client communication. The document was part of agency personnel's decision making process.
TREAS-00038	November 14, 2001	Email	Tony Fratto	Michele Davis	Discussion of and Changes to the Quarterly Refunding Announcement	Withheld in part. Deliberative Process. Internal draft document containing advice and opinions of agency personnel regarding Quarterly Refunding announcement.
TREAS-00039	November 14, 2001	Email	Robert Nichols	Tony Fratto	Discussion of and Changes to the Quarterly Refunding Announcement	Withheld in part. Deliberative Process. Internal draft document containing advice and opinions of agency personnel regarding Quarterly Refunding announcement.
TREAS-00040	November 13, 2001	Email	Tony Fratto	David Aufhauser Cc: Peter Fisher	Legal Strategy sought relating to Quarterly Refunding Procedures	Withheld in part. Attorney Client. Internal document to Agency General Counsel in a confidential attorney-client communication. It relays information between agency personnel relating to proposed legal strategies and was for the dominant purpose of requesting or receiving legal advice.

DOC. NO.	DATE	TYPE OF DOCUMENT	AUTHOR	RECIPIENT(S)	GENERAL SUBJECT MATTER	BASIS FOR WITHHOLDING
TREAS-00041-00042	November 8, 2001	Email	Tony Fratto	David Aufhauser	Legal Strategy sought relating to Quarterly Refunding	Withheld in part. Attorney Client. Internal document to agency counsel in a confidential attorney-client communication. It relays legal information between agency personnel and agency counsel and was part of agency personnel's decision making process. The document was for the dominant purpose of requesting or receiving legal advice.
TREAS-00043-00044	November 8, 2001	Email	Tony Fratto	Michele Davis, Betsy Holahan Cc: Robert Nichols	Discussion relating to Quarterly Refunding	Withheld in part. Attorney Client. Deliberative Process. It relays legal information between agency personnel and was part of agency personnel's decision making process. The document contains mental impressions, analysis and legal advice from agency counsel to agency personnel in a confidential attorney-client communication.
TREAS-00045-00047	October 31, 2001	Email	Timothy Bitsberger	Tony Fratto	Discussion relating to Quarterly Refunding	Withheld in part. Attorney Client. Deliberative Process. It relays legal information between agency personnel and was part of agency personnel's decision making process. The document contains mental impressions, analysis and legal advice from agency counsel to agency personnel in a confidential attorney-client communication.
TREAS-00048-00050	October 31, 2001	Email	Tony Fratto	Michele Davis	Discussion relating to Quarterly Refunding	Withheld in part. Attorney Client. Deliberative Process. It relays legal information between agency personnel and was part of agency personnel's decision making process. The document contains mental impressions, analysis and legal advice from agency counsel to agency personnel in a confidential attorney-client communication.

DOC. No.	DATE	TYPE OF DOCUMENT	AUTHOR	RECIPIENT(S)	GENERAL SUBJECT MATTER	BASIS FOR WITHHOLDING
TREAS-00051-00053	October 31, 2001	Email	Paul Malvey	Timothy Bitsberger, Jeff Huther, Brian Roseboro, Tony Fratto, Michele Davis, Peter Fisher, Tim Adams, David Aufhauser Cc: Jared Gross, Robert Nichols, Betsy Holahan, Jeff Huther	Discussion relating to Quarterly Refunding	Withheld in part. Attorney Client. Deliberative Process. It relays legal information between agency personnel and was part of agency personnel's decision making process. The document contains advice and recommendations from agency personnel about agency policies and statements.
TREAS-00054-00055	October 31, 2001	Email	Tony Fratto	David Aufhauser	Discussion relating to Quarterly Refunding	Withheld in part. Attorney Client. Deliberative Process. It relays legal information between agency personnel and was part of agency personnel's decision making process. The document contains advice and recommendations from agency personnel about agency policies and statements. The document relays information between agency personnel to Agency General Counsel in a confidential attorney-client communication for the dominant purpose of requesting or receiving legal advice.
TREAS-00056-00057	November 8, 2001	Email	Betsy Holahan	Peter Fisher	Discussion relating to Quarterly Refunding. Press Release	Withheld in part. Attorney Client. Deliberative Process. Internal document to agency counsel in a confidential attorney-client communication. It relays legal information between agency personnel and agency counsel and was part of agency personnel's decision making process. The document contains mental impressions and legal analysis from Agency counsel to client.

DOC. NO.	DATE	TYPE OF DOCUMENT	AUTHOR	RECIPIENT(S)	GENERAL SUBJECT MATTER	BASIS FOR WITHHOLDING
TREAS-00058	November 6, 2001	Email	Tony Fratto	Betsy Holahan, Michele Davis, Robert Nichols	Discussion relating to Quarterly Refunding. Statement	Withheld in part. Deliberative Process. Internal document between agency personnel relaying agency counsel advice and recommendations. The document contains mental impressions and legal analysis from Agency counsel to client.
TREAS-00059	November 2, 2001	Email	Betsy Holahan	Michele Davis	Discussion relating to Quarterly Refunding Incident	Withheld in part. Deliberative Process. Internal document between agency personnel and was part of agency personnel's decision making process. The document contains advice and recommendations from agency personnel about agency policies and statements.
TREAS-00060	November 14, 2001	Email	Brian Roseboro	Tony Fratto, Michele Davis, Robert Nichols, Betsy Holahan, Peter Fisher, Timothy Bitsberger, Jared Gross	Discussion relating to the Quarterly Refunding Press Release	Withheld in part. Deliberative Process. Internal draft document between agency personnel. The document contains advice and recommendations from agency personnel and relays legal information from agency counsel.
TREAS-00061-00062	October 31, 2001	Email	Tony Fratto	Betsy Holahan	Discussion relating to Quarterly Refunding.	Withheld in part. Deliberative Process. Internal draft document containing advice and opinions of agency personnel regarding Quarterly Refunding announcement.

DOC. NO.	DATE	TYPE OF DOCUMENT	AUTHOR	RECIPIENT(S)	GENERAL SUBJECT MATTER	BASIS FOR WITHHOLDING
TREAS-00063-00064	October 31, 2001	Email	Paul Malvey	Tony Fratto, Michele Davis, Peter Fisher, Tim Adams, David Aufhauser Cc: Brian Roseboro, Jared Gross, Robert Nichols, Timothy Bitsberger, Betsy Holahan, Jeff Huther	Discussion relating to Quarterly Refunding.	Withheld in part. Deliberative Process. Internal draft document containing advice and opinions of agency personnel regarding Quarterly Refunding announcement.
TREAS-00065	October 31, 2001	Email	Michele Davis	Tony Fratto, Paul Malvey, Peter Fisher, Tim Adams, David Aufhauser Cc: Brian Roseboro, Jared Gross, Robert Nichols, Timothy Bitsberger, Betsy Holahan, Jeff Huther	Discussion relating to Quarterly Refunding.	Withheld in part. Deliberative Process. Internal draft document containing advice and opinions of agency personnel regarding Quarterly Refunding announcement.
TREAS-00066	October 31, 2001	Email	Tony Fratto	Brian Roseboro, Michele Davis, Peter Fisher, Tim Adams, David Aufhauser Cc: Paul Malvey, Jared Gross, Robert Nichols, Timothy Bitsberger, Betsy Holahan	Discussion relating to Quarterly Refunding.	Withheld in part. Deliberative Process. Internal draft document containing advice and opinions of agency personnel regarding Quarterly Refunding announcement.

Doc. No.	Date	Type of Document	Author	Recipient(s)	General Subject Matter	Basis for Withholding
TREAS-00067	October 31, 2001	Email	Betsy Holahan	Peter Fisher	Discussion relating to Quarterly Refunding, Press Release	Withheld in part. Deliberative Process, Internal draft document containing advice and opinions of agency personnel regarding Quarterly Refunding announcement.
TREAS-00068-00070	October 27, 2001	Email and attachments		David Monroe	Donald Hammond, Brian Roseboro, Timothy Bitsberger, David Lebryk, Paul Malvey, Jeff Huther, Jared Gross, Tony Fratto Cc: Betsy Holahan, Christopher Kubeilus	Draft of Quarterly Refunding Announcement Withheld in part. Deliberative Process, Internal draft documents containing advice and opinions of agency personnel about agency policies relating to the Quarterly Refunding announcement.
TREAS-00071-00075	October 30, 2001	Email and attachments		Jared Gross	Peter Fisher, Donald Hammond, Brian Roseboro, Timothy Bitsberger, David Lebryk, Paul Malvey, David Monroe, Jeff Huther, Richard Clarida Cc: Betsy Holahan	Latest Draft of Quarterly Refunding Announcement Withheld in part. Deliberative Process, Internal draft document containing advice and opinions of agency personnel about Treasury official's statement relating to the Quarterly Refunding announcement.

DOC. NO.	DATE	TYPE OF DOCUMENT	AUTHOR	RECIPIENT(S)	GENERAL SUBJECT MATTER	BASIS FOR WITHHOLDING
TREAS-00076	October 30, 2001	Email	Jared Gross	Peter Fisher, Donald Hammond, Brian Roseboro, Timothy Bitsberger, David Lebryk, Paul Malvey, David Monroe, Jeff Huther, Richard Clarida Cc: Betsy Holahan	Discussion relating to Quarterly Refunding	Withheld in part. Deliberative Process. Internal draft document containing advice and opinions of agency personnel about Treasury official's statement relating to the Quarterly Refunding announcement.
TREAS-00077	November 05-November 11, 2001	Calendar	Peter Fisher	Peter Fisher	Calendar Entries	Withheld in part. Non-responsive
TREAS-00078-00081	February 2, 2001	Memorandum	Donald V. Hammond	Secretary Paul O'Neill	Recent developments in the Office of the Under Secretary for Domestic Finance	Withheld in part. Non-responsive
TREAS-00082	January 14, 2002	Letter	Megan E. Hills	Rosemary Filou	Deputy Secretary Roseboro's mobile telephone number.	Withheld in part. Privacy Act of 1974, 5 U.S.C. § 552
TREAS-00083	November 4, 2001	Email	Tom McGivern	JT Young, John Duncan, Amy Smith Cc: David Aufhauser, George Wolfe, Traci Sanders, Steven Vagle	30 Year Bond Investigation	Withheld in part. Work Product. Law Enforcement. Attorney Client. Agency counsel communication for the dominant purpose of conducting or aiding in the conduct of contemplated legal proceedings. The document contains information compiled for law enforcement purposes and was provided in a confidential attorney client communication.

DOC. NO.	DATE	TITLE OF DOCUMENT	AUTHOR	RECIPIENT(S)	GENERAL SUBJECT MATTER	BASIS FOR WITHHOLDING
TREAS-00084-00085	November 5, 2001	Email	JT Young	David Aufhauser	30 Year Bond Investigation	Withheld in part. Work Product. Law Enforcement. Attorney Client. The document contains information from agency counsel for the dominant purpose of conducting or aiding in the conduct of contemplated legal proceedings. The document contains information compiled for law enforcement purposes and was provided in a confidential attorney client communication.
TREAS-00086-00087	November 5, 2001	Email	Peter Fisher	David Aufhauser	30 Year Bond Investigation	Withheld in part. Work Product. Law Enforcement. Attorney Client. Privacy Act of 1974, 5 U.S.C. § 552. The document contains information from agency counsel for the dominant purpose of conducting or aiding in the conduct of contemplated legal proceedings. The document contains information compiled for law enforcement purposes and was provided in a confidential attorney client communication.
TREAS-00088-00089	November 5, 2001	Email	David Aufhauser	Peter Fisher	30 Year Bond Investigation	Withheld in part. Work Product. Law Enforcement. Attorney Client. Privacy Act of 1974, 5 U.S.C. § 552. The document contains information from agency counsel for the dominant purpose of conducting or aiding in the conduct of contemplated legal proceedings. The document contains information compiled for law enforcement purposes and was provided in a confidential attorney client communication.

CONFIDENTIAL TREATMENT REQUESTED BY THE UNITED STATES DEPARTMENT OF THE TREASURY

DOC. NO.	DATE	TYPE OF DOCUMENT	AUTHOR	RECIPIENT(S)	GENERAL SUBJECT MATTER	BASIS FOR WITHHOLDING
TREAS-00090-00091	November 5, 2001	Email	David Aufhauser	Peter Fisher	30 Year Bond Investigation	Withheld in part. Work Product. Law Enforcement. Attorney Client. The document contains information from agency counsel for the dominant purpose of conducting or aiding in the conduct of contemplated legal proceedings. The document contains information compiled for law enforcement purposes and was provided in a confidential attorney client communication.
TREAS-00092-00093	November 5, 2001	Email	David Aufhauser	Tom McGivern, JT Young, John Duncan, Amy Smith Cc: George Wolfe, Traci Sanders, Steven Vagle, Francine Kerner, Peter Fisher	30 Year Bond Investigation	Withheld in part. Work Product. Law Enforcement. Attorney Client. The document contains information from agency counsel for the dominant purpose of conducting or aiding in the conduct of contemplated legal proceedings. The document contains information compiled for law enforcement purposes and was provided in a confidential attorney client communication.
TREAS-00094	November 6, 2001	Email	Tony Fratto	David Aufhauser	30 Year Bond Investigation	Withheld in part. Work Product. Attorney Client. The document contains a confidential attorney client communication which discusses legal strategy in responding to press inquiries concerning the 30 year bond investigation.
TREAS-00095	November 6, 2001	Email	Michele Davis	Tony Fratto	Procedures for clearing in reporters	Withheld in part. Deliberative Process. Internal document containing opinions and advice from agency personnel relating to Treasury Department's procedures for clearing in reporters.

DOC. NO.	DATE	TYPE OF DOCUMENT	AUTHOR	RECIPIENT(S)	GENERAL SUBJECT MATTER	BASIS FOR WITHHOLDING
TREAS-00096-00097	October 31, 2001	Email	Tim Adams	David Aufhauser	30 Year Bond Investigation	Withheld in full. Attorney Client. Deliberative Process. Internal draft document containing advice and opinions of agency personnel regarding Quarterly Refunding announcement. The document contains advice and recommendations from agency personnel about agency policies and statements. The document relays information between agency personnel to agency counsel in a confidential attorney client communication. The document provides legal advice from Agency General Counsel
TREAS-00098-00100	November 14, 2001	Email	Tony Fratto	Megan Hills	30 Year Bond Investigation	Withheld in part. Work Product. Law Enforcement. Agency personnel communication to Agency counsel for the dominant purpose of conducting or aiding in the conduct of contemplated legal proceedings. The document contains information contemplated for law enforcement purposes.
TREAS-00101-00102	November 5, 2001	Email	Janet Jones (on behalf of John Duncan)	David Aufhauser, Tom McGivern, JT Young, John Duncan, Amy Smith Cc: George Wolfe, Traci Sanders, Steven Vagle, Francine Kerner, Peter Fisher	30 Year Bond Investigation	Withheld in part. Work Product. Law Enforcement. Attorney Client. The document contains information from agency counsel for the dominant purpose of conducting or aiding in the conduct of contemplated legal proceedings. The document contains information contemplated for law enforcement purposes and was provided in a confidential attorney client communication.

DOC NO.	DATE	TYPE OF DOCUMENT	AUTHOR	RECIPIENT(S)	GENERAL SUBJECT MATTER	BASIS FOR WITHHOLDING
TREAS-00103-00104	November 5, 2001	Email	Peter Fisher	David Aufhauser	30 Year Bond Investigation	Withheld in part. Work Product. Law Enforcement. Attorney Client. The document contains information from agency counsel for the dominant purpose of conducting or aiding in the conduct of contemplated legal proceedings. The document contains information contemplated for law enforcement purposes and was provided in a confidential attorney client communication.
TREAS-00105	November 29, 2001	Email	Paul Malvey	Cindy Reese Cc: Roberta McInerney, Peter Bieger	Meeting of the TBAC	Withheld in full. Attorney Client. Internal document to agency counsel provided in a confidential attorney client communication for the dominant purpose of receiving legal advice relating to Treasury Borrowing Advisory Committee procedures.
TREAS-00106	December 4, 2001	Email	Paul Malvey	Roberta McInerney, Peter Bieger	TBAC	Withheld in full. Attorney Client. Internal document to agency counsel provided in a confidential attorney client communication for the dominant purpose of receiving legal advice relating to Treasury Borrowing Advisory Committee procedures.
TREAS-00107	December 11, 2001	Email	Paul Malvey	Jeff Huther	TBAC	Withheld in full. Attorney Client. Internal document between agency personnel relaying confidential attorney client communication from agency counsel relating to Treasury Borrowing Advisory Committee procedures
TREAS-00108	December 11, 2001	Email	Paul Malvey	Debby Perehnter	TBAC	Withheld in full. Attorney Client. Internal document between agency personnel relaying confidential attorney client communication from agency counsel relating to Treasury Borrowing Advisory Committee procedures

DOC No.	DATE	TYPE OF DOCUMENT	AUTHOR	RECIPIENT(S)	GENERAL SUBJECT MATTER	BASIS FOR WITHHOLDING
TREAS-00109	January 11, 2002	Email	Megan Hills	David Aufhauser	SEC Request to OIG	Withheld in full. Work Product. Agency counsel communication to Agency General Counsel for the dominant purpose of conducting or aiding in the conduct of contemplated legal proceedings.
TREAS-00110	November 5, 2001	Email	Francine Kerner	David Aufhauser	30 Year Bond	Withheld in full. Work Product. Law Enforcement. Agency counsel communication to Agency General Counsel for the dominant purpose of conducting or aiding in the conduct of contemplated legal proceedings. The document contains information contemplated for law enforcement purposes.
TREAS-00111	October 31, 2001	Email	Tony Fratto	David Aufhauser Cc: Tim Adams, Michele Davis, Peter Fisher, Brian Roseboro, Timothy Bittsberger, Jared Gross, Robert Nichols, Betsy Holahan	Discussion of Quarterly Refunding Announcement	Withheld in full. Attorney Client. Internal document summarizing factual investigation and provided to Agency General Counsel in a confidential attorney-client communication for the dominant purpose of requesting or seeking legal advice.
TREAS-00112	October 31, 2001	Email	David Aufhauser	Elizabeth Vannoy	Discussion of Quarterly Refunding Announcement	Withheld in full. Attorney Client. Internal document summarizing factual investigation and provided to Agency General Counsel in a confidential attorney-client communication for the dominant purpose of requesting or seeking legal advice.

DOC. NO.	DATE	TYPE OF DOCUMENT	AUTHOR	RECIPIENT(S)	GENERAL SUBJECT MATTER	BASIS FOR WITHHOLDING
TREAS-00113	October 31, 2001	Email	David Aufhauser	Tim Adams	Discussion of Quarterly Refunding Announcement	Withheld in full. Attorney Client. Work Product. Law Enforcement. Internal document summarizing factual investigation and provided to Agency General Counsel in a confidential attorney-client communication for the dominant purpose of requesting or seeking legal advice. The document contains mental impressions and analysis from Agency General Counsel to agency personnel in a confidential attorney-client communication.
TREAS-00114-00116	November 5, 2001	Email	David Aufhauser	Elizabeth Vannoy	Announcement Suspending the Issuance of the 30 Year Bond	Withheld in full. Work Product. Law Enforcement. Internal document summarizing factual investigation and provided to Agency General Counsel. The document contains mental impressions and analysis from Agency counsel to Agency General Counsel and was for the dominant purpose of conducting or aiding in the conduct of the contemplated legal proceedings.
TREAS-00117-00119	November 4, 2001	Email	Francine Kerner	David Aufhauser Cc: Peter Bieser, Stephen McHale, Elizabeth Vannoy	Announcement Suspending the Issuance of the 30 Year Bond	Withheld in full. Work Product. Law Enforcement. Internal document summarizing factual investigation and provided to Agency General Counsel. The document contains mental impressions and analysis from Agency counsel to Agency General Counsel and was for the dominant purpose of conducting or aiding in the conduct of the contemplated legal proceedings.

CONFIDENTIAL TREATMENT REQUESTED BY THE UNITED STATES DEPARTMENT OF THE TREASURY

DOC. NO.	DATE	TYPE OF DOCUMENT	AUTHOR	RECIPIENT(S)	GENERAL SUBJECT MATTER	BASIS FOR WITHHOLDING
TREAS-00120-00121	November 2, 2001	Email	Francine Kerner	David Aufhauser	Announcement Suspending the Issuance of the 30 Year Bond	Withheld in full. Work Product. Law Enforcement. Internal document summarizing factual investigation and provided to Agency General Counsel. The document contains mental impressions and analysis from Agency counsel to Agency General Counsel and was for the dominant purpose of conducting or aiding in the conduct of the contemplated legal proceedings.
TREAS-00122	November 6, 2001	Email	Megan Hills	David Aufhauser, Francine Kerner Cc: Tom McGivern	Interviews by the SEC	Withheld in full. Work Product. Law Enforcement. Agency counsel communication to Agency General Counsel for the dominant purpose of conducting or aiding in the conduct of contemplated legal proceedings.
TREAS-00123	November 6, 2001	Email	Francine Kerner	Megan Hills Cc: Tom McGivern, David Aufhauser	Interviews by the SEC	Withheld in full. Work Product. Law Enforcement. Agency General Counsel for the dominant purpose of conducting or aiding in the conduct of contemplated legal proceedings. The document contains information contemplated for law enforcement purposes.
TREAS-00124	November 6, 2001	Email	David Aufhauser	Tom McGivern, Megan Hills	Interviews by the SEC	Withheld in full. Work Product. Law Enforcement. Agency counsel communication to Agency General Counsel for the dominant purpose of conducting or aiding in the conduct of contemplated legal proceedings. The document contains information contemplated for law enforcement purposes.
TREAS-00125	November 6, 2001	Email	David Aufhauser	Tony Fratto 30 Year Bond		Withheld in full. Attorney Client. Internal document between Agency General Counsel and agency personnel relaying legal advice in a confidential attorney client communication. The document contains legal advice.

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DOC. NO.	DATE	TYPE OF DOCUMENT	AUTHOR	RECIPIENT(S)	GENERAL SUBJECT MATTER	BASIS FOR WITHHOLDING
TREAS-00126	November 5, 2001	Email	Francine Kerner	David Aufhauser, Tom McGivern, Traci Sanders, Stephen McHale	October 30 Press Release	Withheld in full. Work Product. Law Enforcement. Agency counsel communication to Agency General Counsel for the dominant purpose of conducting or aiding in the conduct of contemplated legal proceedings. The document contains information contemplated for law enforcement purposes.
TREAS-00127	December 20, 2001	Email	Paul Malvey	Megan Hills	Personal Information	Withheld in full. Work Product. Law Enforcement. Privacy Act of 1974, 5 U.S.C. § 552. Agency personnel communication to Agency counsel for the dominant purpose of conducting or aiding in the conduct of contemplated legal proceedings. The document contains information contemplated for law enforcement purposes.
TREAS-00128	November 23, 2001	Email	Jeff Huther	Megan Hills	Interview Follow-up Questions relating to Personal Calendar	Withheld in full. Work Product. Law Enforcement. Agency personnel communication to Agency counsel for the dominant purpose of conducting or aiding in the conduct of contemplated legal proceedings. The document contains information contemplated for law enforcement purposes.
TREAS-00129	January 9, 2002	Email	Jeff Huther	Megan Hills	Personal Information	Withheld in full. Work Product. Law Enforcement. Attorney Client. Agency personnel communication to Agency counsel for the dominant purpose of conducting or aiding in the conduct of contemplated legal proceedings. The document contains information contemplated for law enforcement purposes.

DOC. NO.	DATE	TYPE OF DOCUMENT	AUTHOR	RECIPIENT(S)	GENERAL SUBJECT MATTER	BASIS FOR WITHHOLDING
TREAS-00130	January 9, 2002	Email	Megan Hills	Tony Fratto	Treasury Regulations Relating to Visitors	Withheld in full. Work Product. Law Enforcement. Agency counsel communication to agency personnel for the dominant purpose of conducting or aiding in the conduct of contemplated legal proceedings. The document contains information contemplated for law enforcement purposes.
TREAS-00131	December 31, 2001	Email	Timothy Bitberger	Megan Hills	Personal Information	Withheld in full. Work Product. Law Enforcement. Privacy Act of 1974, 5 U.S.C. § 552. Agency personnel communication to Agency counsel for the dominant purpose of conducting or aiding in the conduct of contemplated legal proceedings. The document contains information contemplated for law enforcement purposes.
TREAS-00132	January 11, 2002	Email	Brian Roseboro	Megan Hills	Personal Information	Withheld in full. Work Product. Law Enforcement. Privacy Act of 1974, 5 U.S.C. § 552. Agency personnel communication to Agency counsel for the dominant purpose of conducting or aiding in the conduct of contemplated legal proceedings. The document contains information contemplated for law enforcement purposes.
TREAS-00133	January 9, 2002	Email	Megan Hills	David Aufhauser Cc: John Vardaman III	SEC Request to OIG	Withheld in full. Work Product. Law Enforcement. Agency General Counsel for the dominant purpose of conducting or aiding in the conduct of contemplated legal proceedings. The document contains information contemplated for law enforcement purposes.

DOC. NO.	DATE	TYPE OF DOCUMENT	AUTHOR	RECIPIENT(S)	GENERAL SUBJECT MATTER	BASIS FOR WITHHOLDING
TREAS-00134	December 20, 2001	Email	Brian Roseboro	Megan Hills	Personal Information	Withheld in full. Work Product. Law Enforcement. Agency personnel communication to Agency counsel for the dominant purpose of conducting or aiding in the conduct of contemplated legal proceedings. The document contains information contemplated for law enforcement purposes.
TREAS-00135	September 9, 2003	Email	Brian Roseboro	Jeff Huther	30 Year Bond Case Update	Withheld in full. Work Product. Attorney Client. Law Enforcement. Agency personnel communication relating to conducting or aiding in the conduct of contemplated legal proceedings. Agency counsel explains potential legal implications in public communications. The document contains information contemplated for law enforcement purposes.
TREAS-00136	September 9, 2003	Email	Brian Roseboro	Jeff Huther	30 Year Bond Case Update	Withheld in full. Work Product. Attorney Client. Law Enforcement. Agency personnel communication relating to conducting or aiding in the conduct of contemplated legal proceedings. Agency counsel explains potential legal implications in public communications. The document contains information contemplated for law enforcement purposes.
TREAS-00137	December 20, 2001	Email	Jeff Huther	Megan Hills	Personal Information	Withheld in full. Work Product. Law Enforcement. Privacy Act of 1974, 5 U.S.C. § 552. Agency personnel communication to Agency counsel for the dominant purpose of conducting or aiding in the conduct of contemplated legal proceedings. The document contains information contemplated for law enforcement purposes.

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TREAS-00138	December 19, 2001	Email	Tony Fratto	Megan Hills	SEC Investigation	Withheld in full. Work Product. Law Enforcement. Agency personnel communication to Agency counsel for the dominant purpose of conducting or aiding in the conduct of contemplated legal proceedings. The document contains information contemplated for law enforcement purposes.
TREAS-00139	February 28, 2002	Email	Tony Fratto	Betsy Holahan, John Vardaman III	SEC Investigation	Withheld in full. Work Product. Law Enforcement. Agency personnel communication to Agency counsel for the dominant purpose of conducting or aiding in the conduct of contemplated legal proceedings. The document contains information contemplated for law enforcement purposes.
TREAS-00140	November 9, 2001	Letter	Megan Hills	Mike Norr	SEC Inquiry	Withheld in full. Work Product. Law Enforcement. Agency counsel communication to OIG counsel for the dominant purpose of conducting or aiding in the conduct of contemplated legal proceedings. The document contains information contemplated for law enforcement purposes.
TREAS-00141-00142	November 9, 2001	Letter	Megan Hills	Mike Norr	SEC Inquiry	Withheld in full. Work Product. Law Enforcement. Draft agency counsel communication to OIG investigator for the dominant purpose of conducting or aiding in the conduct of contemplated legal proceedings. The document contains information contemplated for law enforcement purposes.

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DOC. NO.	DATE	TYPE OF DOCUMENT	AUTHOR	RECIPIENT(S)	GENERAL SUBJECT MATTER	BASIS FOR WITHHOLDING
TREAS-00143	November 9, 2001	Letter	Megan Hills	Andrew Sporkin	SEC Inquiry	Withheld in full. Work Product. Law Enforcement. Draft agency counsel communication to SEC counsel for the dominant purpose of conducting or aiding in the conduct of contemplated legal proceedings. The document contains information contemplated for law enforcement purposes.
TREAS-00144	November 13, 2001	Letter	Megan Hills	Andrew Sporkin	SEC Inquiry	Withheld in full. Work Product. Law Enforcement. Draft agency counsel communication to SEC counsel for the dominant purpose of conducting or aiding in the conduct of contemplated legal proceedings. The document contains information contemplated for law enforcement purposes.
TREAS-00145	November 14, 2001	Letter	Megan Hills	Andrew Sporkin	SEC Inquiry	Withheld in full. Work Product. Law Enforcement. Draft agency counsel communication to SEC counsel for the dominant purpose of conducting or aiding in the conduct of contemplated legal proceedings. The document contains information contemplated for law enforcement purposes.
TREAS-00146	November 15, 2001	Letter	Megan Hills	Andrew Sporkin Cc: Tony Fratto, Michael Norr	SEC Inquiry	Withheld in full. Work Product. Law Enforcement. Draft agency counsel communication to SEC counsel for the dominant purpose of conducting or aiding in the conduct of contemplated legal proceedings. The document contains information contemplated for law enforcement purposes.

DOC NO.	DATE	TYPE OF DOCUMENT	AUTHOR	RECIPIENT(S)	GENERAL SUBJECT MATTER	BASIS FOR WITHHOLDING
TREAS-00147-00148	November 23, 2001	Letter	Megan Hills	Andrew Sporkin Cc: Peter Fisher, Jeff Huther, Mike Norr	SEC Inquiry	Withheld in full. Work Product. Law Enforcement. Draft agency counsel communication to SEC counsel for the dominant purpose of conducting or aiding in the conduct of contemplated legal proceedings. The document contains information contemplated for law enforcement purposes.
TREAS-00149	November 29, 2001	Letter	Megan Hills	Andrew Sporkin Cc: Mike Norr	SEC Inquiry	Withheld in full. Work Product. Law Enforcement. Draft agency counsel communication to SEC counsel for the dominant purpose of conducting or aiding in the conduct of contemplated legal proceedings. The document contains information contemplated for law enforcement purposes.
TREAS-00150-00151	December 20, 2001	Letter	Megan Hills	Rosemary Filou Cc: Mike Norr	SEC Inquiry	Withheld in full. Work Product. Law Enforcement. Draft agency counsel communication to SEC counsel for the dominant purpose of conducting or aiding in the conduct of contemplated legal proceedings. The document contains information contemplated for law enforcement purposes.
TREAS-00152	December 21, 2001	Letter	Megan Hills	Rosemary Filou Cc: Mike Norr	SEC Inquiry	Withheld in full. Work Product. Law Privacy Act of 1974, 5 U.S.C. § 552. Draft agency counsel communication to SEC counsel for the dominant purpose of conducting or aiding in the conduct of contemplated legal proceedings. The document contains information contemplated for law enforcement purposes.

DOC NO.	DATE	TYPE OF DOCUMENT	AUTHOR	RECIPIENT(S)	GENERAL SUBJECT MATTER	BASIS FOR WITHHOLDING
TREAS-00153	January 5, 2002	Letter	Megan Hills	Rosemary Filou Cc: Mike Norr	SEC Inquiry	Withheld in full. Work Product. Law Enforcement. Privacy Act of 1974, 5 U.S.C. § 552. Draft agency counsel communication to SEC counsel for the dominant purpose of conducting or aiding in the conduct of contemplated legal proceedings. The document contains information contemplated for law enforcement purposes.
TREAS-00154-00156	January 10, 2002	Letter	Megan Hills	Rosemary Filou Cc: Mike Norr, John Vardaman	SEC Inquiry	Withheld in full. Work Product. Law Enforcement. Privacy Act of 1974, 5 U.S.C. § 552. Draft agency counsel communication to SEC counsel for the dominant purpose of conducting or aiding in the conduct of contemplated legal proceedings. The document contains information contemplated for law enforcement purposes.
TREAS-00157-00158	January 14, 2002	Letter	Megan Hills	Rosemary Filou Cc: Mike Norr, John Vardaman	SEC Inquiry	Withheld in full. Work Product. Law Enforcement. Privacy Act of 1974, 5 U.S.C. § 552. Draft agency counsel communication to SEC counsel for the dominant purpose of conducting or aiding in the conduct of contemplated legal proceedings. The document contains information contemplated for law enforcement purposes.
TREAS-00159	November 15, 2001	Email	Megan Hills	Tony Fratto	SEC Inquiry	Withheld in full. Work Product. Law Enforcement. Agency counsel communication to agency personnel for the dominant purpose of conducting or aiding in the conduct of contemplated legal proceedings. The document contains information contemplated for law enforcement purposes.

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TREAS-00160	May 2, 2002	Email	Tony Fratto	John Vardaman III	SEC Inquiry	Withheld in full. Work Product. Law Enforcement. Agency personnel communication to agency counsel for the dominant purpose of conducting or aiding in the conduct of contemplated legal proceedings. The document contains information contemplated for law enforcement purposes.
TREAS-00161	November 6, 2001	Email	Peter Fisher	Tom McGivern, David Aufhauser Cc: Brian Roseboro	Quarterly Refunding Investigation	Withheld in full. Work Product. Attorney Client. Internal document to agency counsel in a confidential attorney-client communication. It relays factual information for the dominant purpose of seeking guidance from Agency General Counsel in his professional capacity.
TREAS-00162	November 6, 2001	Email	David Aufhauser	Megan Hills	Quarterly Refunding Investigation	Withheld in full. Work Product. Attorney Client. Internal document to agency counsel in a confidential attorney-client communication. It relays factual information for the dominant purpose of seeking guidance from Agency General Counsel in his professional capacity.
TREAS-00163	November 7, 2001	Email	Megan Hills	David Aufhauser	Quarterly Refunding Investigation	Withheld in full. Work Product. Attorney Client. Internal document to agency counsel in a confidential attorney-client communication. It relays factual information for the dominant purpose of seeking guidance from Agency General Counsel in his professional capacity.
TREAS-00164	August 15, 2002	Letter	John Vardaman III	Robert Hotz	Quarterly Refunding Investigation	Withheld in full. Work Product. Law Enforcement. Agency counsel communication to United States Attorneys Office counsel for the dominant purpose of conducting or aiding in the conduct of contemplated legal proceedings. The document contains information contemplated for law enforcement purposes.

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DOC. NO.	DATE	TYPE OF DOCUMENT	AUTHOR	RECIPIENT(S)	GENERAL SUBJECT MATTER	BASIS FOR WITHHOLDING
TREAS-00165	November 14, 2001	Email	Tony Fratto	Michele Davis, Robert Nichols, Betsy Holahan, Peter Fisher, Brian Roseboro, Timothy Bitsberger, Jared Gross	Discussion of and Changes to the Quarterly Refunding Announcement.	Withheld in full. Deliberative Process. Internal draft document containing advice and opinions of agency personnel regarding Quarterly Refunding announcement.
TREAS-00166-00167	October 29, 2001	Email	Jared Gross	Robert Nichols	Draft Schedule of Refunding Announcement.	Withheld in full. Deliberative Process. Internal draft document containing opinions and advice from agency personnel regarding schedule and strategy of communicating Quarterly Refunding.
TREAS-00168	November 14, 2001	Email	Brian Roseboro	Tony Fratto, Michele Davis, Robert Nichols, Betsy Holahan, Peter Fisher, Timothy Bitsberger, Jared Gross	Discussion of and Changes to the Quarterly Refunding Announcement	Withheld in full. Deliberative Process. Internal draft document containing opinions and advice of agency personnel regarding Quarterly Refunding announcement.
TREAS-00169-00170	October 25, 2001	Email	Jeff Huther	Brian Roseboro	Draft Schedule of Refunding Announcement	Withheld in full. Deliberative Process. Internal draft document containing opinions and advice of agency personnel regarding schedule and strategy of communicating Quarterly Refunding.
TREAS-00171	October 29, 2001	Email	Brian Roseboro	John Duncan Cc: Amy Smith, Amy Best	Draft Schedule of Refunding Announcement	Withheld in full. Deliberative Process. Internal draft document containing opinions and advice of agency personnel regarding schedule and strategy of communicating Quarterly Refunding.

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TREAS-00172-00173	January 23, 2002	Email (with attachment)	Brian Roseboro	Michele Davis, David Aufhauser Cc: Betsy Holahan, George Wolfe, Roberta McInerny	Draft Response to OIG	Withheld in full. Deliberative Process. Work Product. Attorney Client. Internal draft document from agency personnel to Agency counsel and agency personnel containing opinions and advice relating to the Quarterly Refunding investigation. The document was provided in a confidential attorney client communication and was for the dominant purpose of conducting or aiding in the conduct of contemplated legal proceedings.
TREAS-00174	November 1, 2001	Email	David Borowski	Mayi Canales, Vicki Waizenegger	Web site problems	Withheld in full. Work Product. Agency personnel communication for the dominant purpose of conducting or aiding in the conduct of contemplated legal proceedings. The document contains information for law enforcement purposes.
TREAS-00175	November 23, 2001	Email	Jeff Huther	Megan Hills	Interview Follow-up Questions relating to Personal Calendar	Withheld in full. Work Product. Law Enforcement. Agency personnel communication to Agency counsel for the dominant purpose of conducting or aiding in the conduct of contemplated legal proceedings. The document contains information contemplated for law enforcement purposes.
TREAS-00176	November 2, 2001	Email	Steven Vagle	Mayi Canales Cc: Tom McGivern, David Borowski	Dave Borowski	Withheld in full. Work Product. Law Enforcement. Agency counsel communication for the dominant purpose of conducting or aiding in the conduct of contemplated legal proceedings. The document contains information for law enforcement purposes.

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DOC NO.	DATE	TYPE OF DOCUMENT	AUTHOR	RECIPIENT(S)	GENERAL SUBJECT MATTER	BASIS FOR WITHHOLDING
TREAS-00177	November 2, 2001	Email	Mayi Canales	Steven Vagle Dave Borowski		Withheld in full. Work Product. Law Enforcement. Agency counsel communication for the dominant purpose of conducting or aiding in the conduct of contemplated legal proceedings. The document contains information for law enforcement purposes.
TREAS-00178	November 2, 2001	Email	Tom McGivern	Mayi Canales Cc: Steven Vagle, Traci Sanders	Dave Borowski	Withheld in full. Work Product. Law Enforcement. Agency counsel communication for the dominant purpose of conducting or aiding in the conduct of contemplated legal proceedings. The document contains information for law enforcement purposes.
TREAS-00179	November 5, 2001	Email	Francine Kerner	John Duncan	October 30 Press Release	Withheld in full. Work Product. Law Enforcement. Agency counsel communication to Agency General Counsel for the dominant purpose of conducting or aiding in the conduct of contemplated legal proceedings. The document contains information contemplated for law enforcement purposes.
TREAS-00180-00181	November 4, 2001	Email	Steven Vagle	Tom McGivern	30 Year Bond	Withheld in part. Work Product. Law Enforcement. Attorney Client. Agency counsel communication for the dominant purpose of conducting or aiding in the conduct of contemplated legal proceedings. The document contains information for law enforcement purposes and was provided in a confidential attorney client communication.

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TREAS-00182-00189	November 2, 2001	Memorandum	Thomas M. McGivern	David Aufhauser, George Wolfe	Weekly Report	Withheld in full. Non-responsive. Work Product. Agency counsel communication for the dominant purpose of conducting or aiding in the conduct of contemplated legal proceedings. The document contains information for law enforcement purposes.
TREAS-00190-00196	December 19, 2001	Email with attachments	Karen Dorsey	Amy Smith Cc: Tom McGivern, Cindy Reese, Paul Malvey, Timothy Bitsberger, Jeff Huther, Roberta McInerney, Peter Bieger	Treasury Draft Bill on TBAC	Withheld in full. Attorney Client. Deliberative Process. Agency personnel communication containing opinions and advice on draft legislation. The document contains privileged communication between agency counsel and client which was sought for the purpose of legal guidance.
TREAS-00197-00203	December 19, 2001	Email with attachments	Jeff Huther	Paul Malvey	Treasury Draft Bill on TBAC	Withheld in full. Attorney Client. Deliberative Process. Agency personnel communication containing opinions and advice on draft legislation. The document contains privileged communication between agency counsel and client which was sought for the purpose of legal guidance.
TREAS-00204	October 31, 2001	Email	Tony Fratio	Michelle Davis, Peter Fisher, Tim Adams, David Aufhauser Cc: Brian Roseboro, Paul Malvey, Jared Gross, Robert Nichols, Timothy Bitsberger, Betsy Holahan	Discussion relating to Quarterly Refunding	Withheld in full. Attorney Client. Deliberative Process. Internal draft document containing advice and opinions of agency personnel regarding Quarterly Refunding announcement. The document contains advice and recommendations from agency personnel about agency policies and statements. The document relays information between agency personnel to agency counsel in a confidential attorney client communication.

DOC. NO.	DATE	TYPE OF DOCUMENT	AUTHOR	RECIPIENT(S)	GENERAL SUBJECT MATTER	BASIS FOR WITHHOLDING
TREAS-00205	October 31, 2001	Email	Timothy Bitsberger	Tony Fratto, Michelle Davis, Peter Fisher, Tim Adams, David Aufhauser Cc: Brian Roseboro, Paul Malvey, Jared Gross, Robert Nichols, Betsy Holahan	Discussion relating to Quarterly Refunding	Withheld in full. Attorney Client. Deliberative Process. Internal draft document containing advice and opinions of agency personnel regarding Quarterly Refunding announcement. The document contains advice and recommendations from agency personnel about agency policies and statements. The document relays information between agency personnel to agency counsel in a confidential attorney client communication.
TREAS-00206	October 31, 2001	Email	Brian Roseboro	Tony Fratto, Michelle Davis, Peter Fisher, Tim Adams, David Aufhauser Cc: Paul Malvey, Jared Gross, Robert Nichols, Timothy Bitsberger, Betsy Holahan	Discussion relating to Quarterly Refunding	Withheld in full. Attorney Client. Deliberative Process. Internal draft document containing advice and opinions of agency personnel regarding Quarterly Refunding announcement. The document contains advice and recommendations from agency personnel about agency policies and statements. The document relays information between agency personnel to agency counsel in a confidential attorney client communication.
TREAS-00207	October 31, 2001	Email	Paul Malvey	Tony Fratto, Michelle Davis, Peter Fisher, Tim Adams, David Aufhauser Cc: Brian Roseboro, Jared Gross, Robert Nichols, Timothy Bitsberger, Betsy Holahan, Jeff Huther	Discussion relating to Quarterly Refunding	Withheld in full. Attorney Client. Deliberative Process. Internal draft document containing advice and opinions of agency personnel regarding Quarterly Refunding announcement. The document contains advice and recommendations from agency personnel about agency policies and statements. The document relays information between agency personnel to agency counsel in a confidential attorney client communication.

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TREAS-00208	October 31, 2001	Email	Michele Davis	Paul Malvey, Tony Fratto, Peter Fisher, Tim Adams, David Aufhauser Cc: Brian Roseboro, Jared Gross, Robert Nichols, Timothy Bitsberger, Betsy Holahan, Jeff Huther	Discussion relating to Quarterly Refunding	Withheld in full. Attorney Client. Deliberative Process. Internal draft document containing advice and opinions of agency personnel regarding Quarterly Refunding announcement. The document contains advice and recommendations from agency personnel about agency policies and statements. The document relays information between agency personnel to agency counsel in a confidential attorney client communication.
TREAS-00209	October 31, 2001	Email	Tony Fratto	Brian Roseboro, Michele Davis, Peter Fisher, Tim Adams, David Aufhauser Cc: Paul Malvey, Jared Gross, Robert Nichols, Timothy Bitsberger, Betsy Holahan	Discussion relating to Quarterly Refunding	Withheld in full. Attorney Client. Deliberative Process. Internal draft document containing advice and opinions of agency personnel regarding Quarterly Refunding announcement. The document contains advice and recommendations from agency personnel about agency policies and statements. The document relays information between agency personnel to agency counsel in a confidential attorney client communication.
TREAS-00210	October 31, 2001	Email	Tony Fratto	Michele Davis, Paul Malvey, Peter Fisher, Tim Adams, David Aufhauser Cc: Brian Roseboro, Jared Gross, Robert Nichols, Timothy Bitsberger, Betsy Holahan, Jeff Huther	Discussion relating to Quarterly Refunding	Withheld in full. Attorney Client. Deliberative Process. Internal draft document containing advice and opinions of agency personnel regarding Quarterly Refunding announcement. The document contains advice and recommendations from agency personnel about agency policies and statements. The document relays information between agency personnel to agency counsel in a confidential attorney client communication.

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TREAS-00211	October 31, 2001	Email	Michelle Davis	Paul Malvey, Tony Fratto, Peter Fisher, Tim Adams, David Aufhauser Cc: Brian Roseboro, Jared Gross, Robert Nichols, Timothy Bitsberger, Betsy Holahan, Jeff Huther	Discussion relating to Quarterly Refunding	Withheld in full. Attorney Client. Deliberative Process. Internal draft document containing advice and opinions of agency personnel regarding Quarterly Refunding announcement. The document contains advice and recommendations from agency personnel about agency policies and statements. The document relays information between agency personnel to agency counsel in a confidential attorney client communication.
TREAS-00212-00213	October 31, 2001	Email	Tony Fratto	Michelle Davis, Paul Malvey, Peter Fisher, Tim Adams, David Aufhauser Cc: Brian Roseboro, Jared Gross, Robert Nichols, Timothy Bitsberger, Betsy Holahan, Jeff Huther	Discussion relating to Quarterly Refunding	Withheld in full. Attorney Client. Deliberative Process. Internal draft document containing advice and opinions of agency personnel regarding Quarterly Refunding announcement. The document contains advice and recommendations from agency personnel about agency policies and statements. The document relays information between agency personnel to agency counsel in a confidential attorney client communication.
TREAS-00214-00215	October 31, 2001	Email	Paul Malvey	Tony Fratto, Michelle Davis, Peter Fisher, Tim Adams, David Aufhauser Cc: Brian Roseboro, Jared Gross, Robert Nichols, Timothy Bitsberger, Betsy Holahan, Jeff Huther	Discussion relating to Quarterly Refunding	Withheld in full. Attorney Client. Deliberative Process. Internal draft document containing advice and opinions of agency personnel regarding Quarterly Refunding announcement. The document contains advice and recommendations from agency personnel about agency policies and statements. The document relays information between agency personnel to agency counsel in a confidential attorney client communication.

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TREAS-00216-00217	October 31, 2001	Email	Brian Roseboro	Tony Fratto, Michele Davis, Paul Malvey, Peter Fisher, Tim Adams, David Aufhauser Cc: Jared Gross, Robert Nichols, Timothy Bitsberger, Betsy Holahan, Jeff Huther	Discussion relating to Quarterly Refunding	Withheld in full. Attorney Client. Deliberative Process. Internal draft document containing advice and opinions of agency personnel regarding Quarterly Refunding announcement. The document contains advice and recommendations from agency personnel about agency policies and statements. The document relays information between agency personnel to agency counsel in a confidential attorney client communication.
TREAS-00218-00219	October 31, 2001	Email	Tony Fratto	David Aufhauser Cc: Jared Gross, Robert Nichols, Timothy Bitsberger, Betsy Holahan, Jeff Huther, Tim Adams, Peter Fisher, Paul Malvey, Michele Davis, Brian Roseboro	Discussion relating to Quarterly Refunding	Withheld in full. Attorney Client. Deliberative Process. Internal draft document containing advice and opinions of agency personnel regarding Quarterly Refunding announcement. The document contains advice and recommendations from agency personnel about agency policies and statements. The document relays information between agency personnel to agency counsel in a confidential attorney client communication.
TREAS-00220-00221	October 31, 2001	Email	Jeff Huther	Brian Roseboro, Tony Fratto, Michele Davis, Paul Malvey, Peter Fisher, Tim Adams, David Aufhauser Cc: Jared Gross, Robert Nichols, Timothy Bitsberger, Betsy Holahan	Discussion relating to Quarterly Refunding	Withheld in full. Attorney Client. Deliberative Process. Internal draft document containing advice and opinions of agency personnel regarding Quarterly Refunding announcement. The document contains advice and recommendations from agency personnel about agency policies and statements. The document relays information between agency personnel to agency counsel in a confidential attorney client communication.

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TREAS-00222-00223	October 31, 2001	Email	Timothy Bitsberger	Jeff Huther, Brian Roseboro, Tony Fratto, Michele Davis, Paul Malvey, Peter Fisher, Tim Adams, David Aufhauser Cc: Jared Gross, Robert Nichols, Betsy Holahan	Discussion relating to Quarterly Refunding	Withheld in full. Attorney Client. Deliberative Process. Internal draft document containing advice and opinions of agency personnel regarding Quarterly Refunding announcement. The document contains advice and recommendations from agency personnel about agency policies and statements. The document relays information between agency personnel to agency counsel in a confidential attorney client communication.
TREAS-00224-00225	October 31, 2001	Email	Paul Malvey	Timothy Bitsberger	Discussion relating to Quarterly Refunding	Withheld in full. Attorney Client. Deliberative Process. Internal draft document containing advice and opinions of agency personnel regarding Quarterly Refunding announcement. The document contains advice and recommendations from agency personnel about agency policies and statements. The document relays information between agency personnel to agency counsel in a confidential attorney client communication.
TREAS-00226-00227	October 31, 2001	Email	Timothy Bitsberger	Paul Malvey, Jeff Huther, Brian Roseboro, Tony Fratto, Michele Davis, Paul Malvey, Peter Fisher, Tim Adams, David Aufhauser Cc: Jared Gross, Robert Nichols, Betsy Holahan	Discussion relating to Quarterly Refunding	Withheld in full. Attorney Client. Deliberative Process. Internal draft document containing advice and opinions of agency personnel regarding Quarterly Refunding announcement. The document contains advice and recommendations from agency personnel about agency policies and statements. The document relays information between agency personnel to agency counsel in a confidential attorney client communication.

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TREAS-00228	October 31, 2001	Email	David Aufhauser	Tony Fratto, Michele Davis, Paul Malvey, Peter Fisher, Tim Adams Cc: Brian Roseboro, Jared Gross, Robert Nichols, Timothy Bitsberger, Betsy Holahan, Jeff Huther	Discussion relating to Quarterly Refunding	Withheld in full. Attorney Client. Deliberative Process. Internal draft document containing advice and opinions of Agency General Counsel and agency personnel regarding Quarterly Refunding announcement. The document contains advice and recommendations from agency personnel about agency policies and statements. The document relays information between agency counsel in a confidential attorney client communication.
TREAS-00229-00230	October 31, 2001	Email		David Aufhauser, Michele Davis, Paul Malvey, Peter Fisher, Tim Adams Cc: Brian Roseboro, Jared Gross, Robert Nichols, Timothy Bitsberger, Betsy Holahan, Jeff Huther	Discussion relating to Quarterly Refunding	Withheld in full. Attorney Client. Deliberative Process. Internal draft document containing advice and opinions of agency personnel regarding Quarterly Refunding announcement. The document contains advice and recommendations from agency personnel about agency policies and statements. The document relays information between agency personnel to agency counsel in a confidential attorney client communication.

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TREAS-00231-00233	October 31, 2001	Email	Paul Malvey	Timothy Birsberger, Jeff Huther, Brian Roseboro, Tony Fratto, Michele Davis, Peter Fisher, Tim Adams, David Aufhauser Cc: Jared Gross, Robert Nichols, Betsy Holahan, Jeff Huther	Discussion relating to Quarterly Refunding	Withheld in full. Attorney Client. Deliberative Process. Internal draft document containing advice and opinions of agency personnel 1 regarding Quarterly Refunding announcement. The document contains advice and recommendations from agency personnel about agency policies and statements. The document relays information between agency personnel to agency counsel in a confidential attorney client communication.
TREAS-00234-00235	October 31, 2001	Email	David Aufhauser	Tony Fratto, Michele Davis, Paul Malvey, Peter Fisher, Tim Adams Cc: Brian Roseboro, Jared Gross, Robert Nichols, Timothy Birsberger, Betsy Holahan, Jeff Huther	Discussion relating to Quarterly Refunding	Withheld in full. Attorney Client. Deliberative Process. Internal draft document containing advice and opinions of Agency General Counsel regarding Quarterly Refunding announcement. The document contains advice and recommendations from agency personnel about agency policies and statements. The document relays information between agency personnel to agency counsel in a confidential attorney client communication.

DOC. NO.	DATE	TYPE OF DOCUMENT	AUTHOR	RECIPIENT(S)	GENERAL SUBJECT MATTER	BASIS FOR WITHHOLDING
TREAS-00236-00237	October 31, 2001	Email	Timothy Bitsberger	David Aufhauser, Tony Fratto, Michele Davis, Paul Malvey, Peter Fisher, Tim Adams Cc: Brian Roseboro, Jared Gross, Robert Nichols, Betsy Holahan, Jeff Huther	Discussion relating to Quarterly Refunding	Withheld in full. Attorney Client. Deliberative Process. Internal draft document containing advice and opinions of agency personnel regarding Quarterly Refunding announcement. The document contains advice and recommendations from agency personnel about agency policies and statements. The document relays information between agency personnel to agency counsel in a confidential attorney client communication.
TREAS-00238-00240	October 31, 2001	Email	Tony Fratto	Timothy Bitsberger, Michele Davis, Paul Malvey Cc: Brian Roseboro, Jared Gross Betsy Holahan, Jeff Huther	Discussion relating to Quarterly Refunding	Withheld in full. Attorney Client. Deliberative Process. Internal draft document containing advice and opinions of agency personnel regarding Quarterly Refunding announcement. The document contains advice and recommendations from agency personnel about agency policies and statements. The document relays information between and to agency personnel and agency counsel in a confidential attorney client communication.
TREAS-00241	October 29, 2001	Email	Betsy Holahan	Michele Davis, Tony Fratto, Robert Nichols Cc: Timothy Bitsberger, Brian Roseboro, Jared Gross, Jeff Huther, Paul MaKey	Draft Schedule of Refunding Announcement.	Withheld in part. Deliberative Process. Internal draft document from agency personnel containing opinions and advice regarding schedule and strategy of communicating Quarterly Refunding.

DOC. NO.	DATE	TYPE OF DOCUMENT	AUTHOR	RECIPIENT(S)	GENERAL SUBJECT MATTER	BASIS FOR WITHHOLDING
TREAS-00242	October 29, 2001	Email	Betsy Holahan	Michelle Davis, Tony Fratto, Robert Nichols Cc: Timothy Bitsberger, Brian Roseboro, Jared Gross, Jeff Huther, Paul Malvey	Draft Schedule of Refunding Announcement.	Withheld in part. Deliberative Process. Internal draft document from agency personnel containing opinions and advice regarding schedule and strategy of communicating Quarterly Refunding.
TREAS-00243-00248	November 2, 2001	Memorandum	Thomas M. McGivern	David Aufhauser, George Wolfe	Weekly Report	Withheld in full. The majority of the document is not-responsive. Work Product. Agency counsel communication for the dominant purpose of conducting or aiding in the conduct of contemplated legal proceedings. The document contains information contemplated for law enforcement purposes.
TREAS-00249-00257	November 9, 2001	Memorandum	Thomas M. McGivern	David Aufhauser, George Wolfe	Weekly Report	Withheld in full. Non-responsive. Work Product. Agency counsel communication for the dominant purpose of conducting or aiding in the conduct of contemplated legal proceedings. The document contains information contemplated for law enforcement purposes.
TREAS-00258-00263	November 16, 2001	Memorandum	Thomas M. McGivern	David Aufhauser, George Wolfe	Weekly Report	Withheld in full. The majority of the document is not-responsive. Work Product. Agency counsel communication for the dominant purpose of conducting or aiding in the conduct of contemplated legal proceedings. The document contains information contemplated for law enforcement purposes.

DOC. NO.	DATE	TYPE OF DOCUMENT	AUTHOR	RECIPIENT(S)	GENERAL SUBJECT MATTER	BASIS FOR WITHHOLDING
TREAS-00264-00265	Unknown	Notes	Cindy Reese		30 Year Bond Investigation	Withheld in full. The majority of the document is not-responsive. Work Product. Agency counsel notes for the dominant purpose of conducting or aiding in the conduct of contemplated legal proceedings. The document contains information contemplated for law enforcement purposes.
TREAS-00266	Unknown	Notes	Counsel in Office of General Counsel at the United States Department of the Treasury		30 Year Bond Investigation	Withheld in full. Work Product. Law Enforcement. Agency counsel notebook containing handwritten notes for the dominant purpose of conducting or aiding in the conduct of contemplated legal proceedings. The document contains information contemplated for law enforcement purposes.
TREAS-00267	Unknown	Notes	Counsel in Office of General Counsel at the United States Department of the Treasury		30 Year Bond Investigation	Withheld in full. Work Product. Law Enforcement. Agency counsel notebook containing handwritten notes for the dominant purpose of conducting or aiding in the conduct of contemplated legal proceedings. The document contains information contemplated for law enforcement purposes.
TREAS-00268	Unknown	Notes	Treasury, OIG Investigator		30 Year Bond Investigation	Withheld in full. Law enforcement. Asserted to protect investigators' handwritten notes that would reveal investigative techniques and strategy. Deliberative process. Asserted to protect investigators' handwritten notes prepared to advise superiors and to make recommendations based on the results of an investigation.

CONFIDENTIAL TREATMENT REQUESTED BY THE UNITED STATES DEPARTMENT OF THE TREASURY

DOC. NO.	DATE	TYPE OF DOCUMENT	AUTHOR	RECIPIENT(S)	GENERAL SUBJECT MATTER	BASIS FOR WITHHOLDING
TREAS-00269	November 7, 2001	Notes	Treasury, OIG Investigator		30 Year Bond Investigation	Withheld in full. Law enforcement. Asserted to protect investigators' handwritten notes that would reveal investigative techniques and strategy. Deliberative process. Asserted to protect investigators' handwritten notes prepared to advise superiors and to make recommendations based on the results of an investigation.
TREAS-00270	November 21, 2001	Notes	Treasury, OIG Investigator		30 Year Bond Investigation	Withheld in full. Law enforcement. Asserted to protect investigators' handwritten notes that would reveal investigative techniques and strategy. Deliberative process. Asserted to protect investigators' handwritten notes prepared to advise superiors and to make recommendations based on the results of an investigation.
TREAS-00271	November 15, 2001	Notes	Treasury, OIG Investigator		30 Year Bond Investigation	Withheld in full. Law enforcement. Asserted to protect investigators' handwritten notes that would reveal investigative techniques and strategy. Deliberative process. Asserted to protect investigators' handwritten notes prepared to advise superiors and to make recommendations based on the results of an investigation.
TREAS-00272	November 14, 2001	Notes	Treasury, OIG Investigator		30 Year Bond Investigation	Withheld in full. Law enforcement. Asserted to protect investigators' handwritten notes that would reveal investigative techniques and strategy. Deliberative process. Asserted to protect investigators' handwritten notes prepared to advise superiors and to make recommendations based on the results of an investigation.

DOC. NO.	DATE	TYPE OF DOCUMENT	AUTHOR	RECIPIENT(S)	GENERAL SUBJECT MATTER	BASIS FOR WITHHOLDING
TREAS-00273	November 14, 2001	Notes	Treasury, OIG Investigator		30 Year Bond Investigation	Withheld in full. Law enforcement. Asserted to protect investigators' handwritten notes that would reveal investigative techniques and strategy. Deliberative process. Asserted to protect investigators' handwritten notes prepared to advise superiors and to make recommendations based on the results of an investigation.
TREAS-00274	November 15, 2001	Notes	Treasury, OIG Investigator		30 Year Bond Investigation	Withheld in full. Law enforcement. Asserted to protect investigators' handwritten notes that would reveal investigative techniques and strategy. Deliberative process. Asserted to protect investigators' handwritten notes prepared to advise superiors and to make recommendations based on the results of an investigation.
TREAS-00275	November 15, 2001	Notes	Treasury, OIG Investigator		30 Year Bond Investigation	Withheld in full. Law enforcement. Asserted to protect investigators' handwritten notes that would reveal investigative techniques and strategy. Deliberative process. Asserted to protect investigators' handwritten notes prepared to advise superiors and to make recommendations based on the results of an investigation.
TREAS-00276	January 14, 2002	Notes	Treasury, OIG Investigator		30 Year Bond Investigation	Withheld in full. Law enforcement. Asserted to protect investigators' handwritten notes that would reveal investigative techniques and strategy. Deliberative process. Asserted to protect investigators' handwritten notes prepared to advise superiors and to make recommendations based on the results of an investigation.

EXHIBIT 3



**DEPARTMENT OF THE TREASURY
WASHINGTON, D.C. 20220**

December 19, 2006

BY E-MAIL

John A. Shope, Esq.
Foley Hoag LLP
Seaport World Trade Center West
155 Seaport Boulevard
Boston, Massachusetts 02210-2600

Re: Frances Anderson

Dear Mr. Shope:

This letter is in response to your September 19, 2006 request that the Treasury Department locate and produce a "disc" that Ms. Frances Anderson referred to in her August 3, 2006 deposition. In that deposition, Ms. Anderson stated that she saved a copy of a draft press release regarding the suspension of the 30-year Treasury bond (PO 749) on her computer's hard drive or on a computer diskette on October 31, 2001. In addition to her previous efforts to locate responsive documents related to the *Touhy* request from the Securities and Exchange Commission regarding this case, following your letter Ms. Anderson conducted a search for this document on computer diskettes. In addition, the Treasury Department's information technology staff also searched for the document on the hard drive on Ms. Anderson's computer. No diskette that included the document was found, nor was the document found on her computer's hard drive. We note, however, that a number of copies of PO 749 have previously been produced.

If you have any further questions please contact me at 202-622-2317.

Sincerely,

Thomas M. McGivern

Thomas M. McGivern

cc: Erica Williams, Esq.
John Rossetti, Esq.
U.S. Securities and Exchange Commission